Procedures in USSDS for Over the Counter Checks
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# Department of Human Services

## Procedures In USSDS For Over The Counter Checks

Clients occasionally face situations requiring immediate payment of funds in order to avoid major emergency problems. Answering this need, the USSDS has developed a method for writing checks and giving them to the client or provider (for a client) in the Regional Office. A new form has been created requesting these payments, and new screens have been inserted into this database which will allow the posting of payment history to both the client and the provider. Policy involving the issuance of over-the-counter checks will be distributed by each Division involved in this process: Aging and Adult Services, DCFS and Services to Persons with Disabilities.

**Required form:**

FORM 296 - This is the **OVER THE COUNTER CHECK ISSUANCE REQUEST** form. (See attached form.) It must be completed and entered either by the terminal operator. The following items must be obtained and written onto this Form:

1. CHECK NO. - The checks for over-the-counter issuance are pre-numbered and kept in stock in the Regional Office safe. Each check number must be accounted for. Use them in numerical order. (More about this will be discussed below.)

2. CLIENT ID - A CLIENT-ID must be obtained for each client receiving the check or the benefit of the check (if it is issued to a provider). Check Screen **CP01** to see if the client already has a number.

3. CLIENT NAME - You may write the client name in this field. Screen **PP14** used for recording the issuance, will automatically bring up the client name.

4. PROVIDER ID - This 9-10 character number is necessary only if the check is to be made out to a provider instead of the client. It is compulsory, however, if the check is to be made out to a provider.

5. PROVIDER NAME - This field may be completed on the form only if the check is to be made out to a provider. Screen PP14 will automatically bring up the provider name.

6. SERVICE CODE - This 3-character code is necessary. Only certain codes qualify for use in over-the-counter check issuance (SNF for DSPD, Special

Needs Codes and HBN for DCFS, and PIA for Aging and Adult Services). If a different code is used, it will be rejected by the computer.

7. KIND - This 1-character code is necessary. Only certain kinds qualify, depending upon the Service Code, for use in the OTC check system. If a different code is used, it will be rejected by the computer.

8. START DATE - This date is the start date of the service you are paying for. It is entered into the computer as "DDMMMYY" where **DD** is numeric, **MMM** is letters, and **YY** is numeric.

9. END DATE - This date is the end date of the service you are paying for.

10. DATE PAID - This should be the date the check was actually paid to the client or the provider.

11. AMOUNT PAID - This is the amount of the check with the check number shown above.

12. ELIGIBILITY - This 2-character code is critical. Only with this code and the Service Code can the computer determine the Account codes the check should be charged to.

13. REGIONAL OFFICE - This 3-character code must be typed into every issuance, so is very critical for the success of this system.

14. UNITS - A unit of a service is determined by the system (after entering some data for that unit).

15. RATE - This is the "unit" cost for this service; in other words, how much per unit is being paid.

16. BUDGET DISTRICT - This 3-character code will almost always be the same as the REGIONAL OFFICE. Only if the budget for the office issuing the check is "rolled-up" into another office, will this be different.

17. SOCIAL SECURITY NUMBER - This must be entered if the check is to be written directly to the client, and not through a provider.

18. AUTHORIZING WORKER SIGNATURE - In requesting the OTC issuance, the worker must sign and date the request. Only then can a terminal operator enter the data into the USSDS.

19. PROVIDER/CLIENT SIGNATURE - If the check is being issued to the client directly, the client must sign and date this field (PROVIDER/CLIENT SIGNATURE). If the check is to be made out to a provider, the provider must sign this form. This could prove difficult, but federal audit requires it.

20. AUTHORIZING SIGNATURES - Two persons, independent of the worker requesting the check and independent of the Business Office worker typing the check, must sign and date the check for this issuance.

21. TERMINAL OPERATOR INITIALS AND DATE - These two blanks on the form are completed by the terminal operator at the time the request is entered into the computer.

**Entry into system:**

**SCREEN PP14** - This screen is used for entry of data from Form 296 for the issuance of checks over the counter. The completed form should be given to the terminal operator for entry into the USSDS. The business office must type the check. The pre-numbered check should be taken from the safe, the number written on the form, and the check typed. Immediately, the terminal operator should enter the data from the form into the computer on this screen. Under no conditions should the entry into the computer be delayed.

**DESCRIPTOR SCREEN** - This is the first **PP14** screen that is encountered. The **CLIENT-ID** and the **CHECK NUMBER** should be typed into the screen. The **PROVIDER-ID** is entered on this screen if, and only if, the check is to be made out to the provider, and not the client. Press **ENTER**. If the client has not been registered in the USSDS, an error message will appear. Furthermore, if the **CHECK NUMBER** has already been typed into the system at a previous time, an error message will appear explaining the problem. Finally, if you are entering a **PROVIDER-ID** and it is not known by the USSDS, another error message will appear. In this last situation, a Form 519 must be completed for the provider and that information must be entered into the USSDS on **SCREENS PR05 AND PR07**.

**DATA SCREEN** - The **CLIENT NAME, CLIENT-ID, PROVIDER-ID** and **PROVIDER NAME** (if the Provider-ID was added on the previous screen) will appear on this screen, as will the CHECK NUMBER. If the check is to be made out to the client, and there is no PROVIDER-ID, the message "**CHECK MADE OUT TO CLIENT**" will appear in the space of the PROVIDER NAME.

a. SERVICE - Only specific service codes are available for use in payments over the counter. If a different SERVICE CODE is used, an error message will appear. If you have Regional Director's approval for this code, even if it is not allowed by the system, see the steps below concerning **OVERRIDES**. The Service Codes are the following: **Special Needs** and **HBN** for DCFS, **PIA** for Aging and Adult Services, and **SNF** for DSPD.

b. KIND - As in all payment systems, the KIND must be pre-approved to match with the SERVICE CODE. If a match is not found, an error message will appear explaining this.

c. START DATE - This should be the Start-Date for this service. Frequently, if amount permits, the Start and End Date are the same and only one (1) unit is billed, although this is not the rule.

d. END DATE - This should be the End-Date for this service. Frequently, if amount permits, the Start and End Date are the same and only one (1) unit is billed, although this is not the rule.

e. DATE PAID - This should be the date the check is typed in the Business Office and given to the client/provider. It is not the date the data is entered into the USSDS (although it should be if data is entered promptly). **Any delay in entering the data into the computer can result in a "bounced" check**. The provider and the State Treasurer's Office will be very upset about this.

f. AMOUNT PAID - This is the amount for which this check is written. Any amount up to and including **$500.00** may be entered. No amount greater than this may be entered. If there are valid reasons for writing a check for greater than $500.00, the signed Form 296 must be sent to:

Bureau of Finance
ATTN: USSDS Help Desk
Dept. of Human Services
120 North 200 West Rm. 213
Salt Lake City, UT 84103

Included should be a written justification for an amount greater than $500.00, and a signature of a Director or Supervisor. The phone number of the worker making the request should be included.

g. UNITS - The number of Units should be typed in this field. For these checks, the number will frequently be one (1), although a larger number may be used.

h. RATE - The Rate as entered into the system for these codes is frequently $999.99. Check the attachments, however, for the rates for each of the codes.

i. ELIGIBILITY - The Eligibility of the client must be included in this field. It is two characters long, and should correspond to the eligibility for this client for this service. The system will check to see that the eligibility is one that is allowed for this service. If the eligibility is not allowed, an error message will appear at the upper left corner of the screen and the entry will not be accepted by the system.

j. REGIONAL OFFICE - The appropriate three-character code should be typed in this field. An example would be DCFS Provo = WPC.

k. WORKER-ID - The appropriate four-character code should be typed in this field.

Press **ENTER** when the entire screen has been completed. The payment is now recorded in history and should be seen in the **CLIENT PAYMENT HISTORY** screens, **PP07** and **PP77**, using the **CLIENT-ID**, as well as in the **PROVIDER PAYMENT HISTORY** screens, under the Client's Social Security Number: **PP21**, **PP22**, **PP23**, and **PP24**.

**Each check which is issued over the counter should be entered into the USSDS prior to handing the check to the client**. Only one emergency could exist--should the computer system be nonfunctional while a client needs an immediate check. Such situations should be rare, but when they do occur, the worker must enter the data as soon as the system becomes functional. Delay will possibly result in balance problems in the Bureau of Finance at the State Office.

All funds drawn on over-the-counter checks will be from one account, the balancing done by the Bureau of Finance. If checks are not entered into the USSDS, it is possible that the account will be overdraw, leading to bounced checks, leading to further hardships for the client.

## SECURITY OF CHECKS

The pre-numbered check stock, aquamarine in color, must be kept in secure containment as are other over-the-counter checks. This generally means that these stocks are locked in a vault or safe each night and that safe is opened only the next morning when something is needed. Each Regional Office should follow its own secure protocol on protecting checks and other documents so that audits (both federal and state) will approve.

## OVER-THE-COUNTER CHECK LOG

You should have a log of over the counter checks. At the close of business on Wednesday evenings, the Business Office should determine the number of the last check used and place that on the log. The number of the first check used the previous Thursday should also appear on the log.

Check numbers and

1. All damaged, voided, and stale dated checks need to be sent to the Bureau of Finance

2. Any private check which has been written by the provider or client to return funds not needed and paid to them by the Department needs to be sent to the Bureau of Finance along with the appropriate PP screen. This log must be retained in the Regional Office.

## FORM 296 RETENTION

All copies of Form 296 are to be retained in the Regional Office. It might be appropriate to keep one copy in the client or provider file, and one copy in the Business Office. These forms should be retained by the Regional Office for a minimum of three years in order to comply with federal audit requirements.

Only in one situation is a Form 296 to be sent to the Bureau of Finance (see below).

## OVERRIDE CONDITIONS

There are rare times when an administrator feels it is appropriate to issue an over-the-counter check for something greater than $500.00 and/or for some service other than those listed above (SNF, Special Needs, HBN, PIA). At these times, the worker should obtain a signature from the Regional Director (or the designee) in the space provided on Form 296 and send (with all other required information as above) the original copy to the Bureau of Finance (**ATTN: USSDS Help Desk**). The Bureau of Finance will be able to enter this request as soon as it is received.

One copy of Form 296 will be retained by the Bureau of Finance for the required retention time. The remaining copy should be retained in the Regional Office, as that office deems appropriate, but in a manner in which it can be easily obtained for audit purposes.

## PAYMENT HISTORY

All payments made (and of course entered into the USSDS) will be recorded in the payment history of the system. If the provider is paid for a specific client, the client history (**SCREEN PP07 or PP77**) will display that payment. A viewer may be able to tell that a payment was made over the counter by the check number which begins with the number "7".

In addition, the provider payment will appear on screens **PP21, PP22, PP23** and **PP24** under the PROVIDER-ID. Again a viewer may be able to tell that the payment was made over the counter by the check number which begins with the number "7".

If, however, a client is paid directly (no intervening provider), then the client-payment history screens will show this payment under the **CLIENT-ID** and the provider history screens will show this payment under the **SSN-SOCIAL SECURITY NUMBER**-of the client. The SSN acts as the Provider-ID.